

**ATTACHMENT B**  
**SAMPLE QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)**  
**Applicable for the USPTO PG PUB Classification Requirement**

**1. PURPOSE**

This Quality Assurance Surveillance Plan (QASP) is a Government developed and applied document used to make sure that systematic quality assurance methods are used in the administration of the Performance Based Service Contract (PBSC) standards included in this contract and in subsequent task orders issued thereunder. The intent is to ensure that the Contractor performs in accordance with performance metrics set forth in the contract documents, that the Government receives the quality of services called for in the contract and that the Government only pays for the acceptable level of services received.

**2. AUTHORITY**

Authority for issuance of this QASP is provided under Contract Section E – Inspection and Acceptance, which provides for inspections and acceptance of the articles, services, and documentation called for in task orders to be accomplished by the Contracting Officer or his duly authorized representative.

**3. SCOPE**

To fully understand the roles and the responsibilities of the parties, it is important to first define the distinction in terminology between the Quality Control Plan and the Quality Assurance Surveillance Plan. The Contractor, and not the Government, is responsible for management and quality control actions necessary to meet the quality standards set forth by the contract and follow-on task orders. The Contractor develops and submits his Quality Control Plan (QCP) for Government approval in compliance with his contract deliverables. Once accepted, the Contractor then uses the QCP to guide and to rigorously document the implementation of the required management and quality control actions to achieve the specified results. The QASP on the other hand, is put in place to provide Government surveillance oversight of the Contractor's quality control efforts to assure that they are timely, effective and are delivering the results specified in the contract or task order. The QASP is not a part of the contract nor is it intended to duplicate the Contractor's QCP. The Government has provided the Contractor an informational copy of the QASP as an Attachment to the solicitation to support the Contractor's efforts in developing a QCP and for providing the contractor an opportunity to comment and propose innovative solutions for the Government's QASP.

**4. GOVERNMENT RESOURCES**

The following definitions for Government resources are applicable to this plan:

Contracting Officer - A person duly appointed with the authority to enter into, administer, or terminate contracts and make related determinations and findings on behalf of the Government.

Project Officer - An individual designated in writing by the Contracting Officer to act as his authorized representative to assist in administering a contract. The source and authority for a Project Officer is the Contracting Officer. Project Officer limitations are contained in the written letter of designation.

Technical Monitor - An individual appointed by the Project Officer to act as his authorized representative for the technical administration of specific task order(s) issued under the contract. The duties and limitations of the Technical Monitor are contained in a written letter of designation and/or in the body of the issued task order.

## 5. RESPONSIBILITIES

The Government resources shall have responsibilities for the implementation of this QASP as follows:

Contracting Officer – The Contracting Officer ensures performance of all necessary actions for effective contracting, ensures compliance with the terms of the contract and safeguards the interests of the United States in the contractual relationship. It is the Contracting Officer that assures the Contractor receives impartial, fair, and equitable treatment under the contract. The Contracting Officer is ultimately responsible for the final determination of the adequacy of the Contractor's performance.

Project Officer - The Project Officer is responsible for technical administration of the project and assures proper Government surveillance of the Contractor's performance. The Project Officer is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's behalf. Any changes that the Contractor deems may affect contract, price, terms, or conditions shall be referred to the Contracting Officer for action.

Technical Monitor – The Technical Monitor provides detailed technical oversight of the Contractor's performance and reports his or her findings to the Project Officer in a timely, complete and impartial fashion to support the Project Officer's technical administration activities. While the Technical Monitor may serve as a direct conduit to provide Government guidance and feedback to the Contractor on technical matters, he or she is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's behalf. Any changes that the Contractor deems may affect contract, price, terms, or conditions shall be referred to the Contracting Officer for action.

## 6. METHODS OF QA SURVEILLANCE

The below listed methods of surveillance shall be used in the administration of this QASP. In addition to specific instructions that may be mentioned, the appropriate and standardized form that is to be used for documentation of QA surveillance is the Surveillance Activity Checklist, included as Attachment 1.

100% Inspection - This level of inspection shall be accomplished by monitoring and documentation. Each month, the Project Officer, or if so designated the appropriate Technical Monitor, shall review the generated deliverables and enter summary results into the Surveillance Activity Checklist.

Sampling - This level of inspection shall be accomplished by monitoring and documentation. Each month, the Project Officer, or if so designated the appropriate

Technical Monitor, shall review a sample (See B.13 of the contract) of the generated deliverables and enter summary results into the Surveillance Activity Checklist.

Periodic Inspection - Periodic inspections shall be conducted if and when specified in individual task/delivery orders. For the potential tasks that have been identified so far and included in this QASP, the appropriate Technical Monitor typically performs the periodic inspection on a monthly basis.

Random Monitoring - Random monitoring shall be conducted if and when specified in individual task/delivery orders. For the potential tasks that have been identified so far and included in this QASP, the random monitoring shall be performed by the Project Officer or by the appropriate designated Technical Monitor.

Customer Feedback – Customer feedback may be obtained either from the results of formal customer satisfaction surveys or from random customer complaints. Customer complaints, to be considered valid, must set forth clearly and in writing the detailed nature of the complaint, must be signed and must be forwarded to the Project Officer. The Project Officer shall maintain a summary log of all formally received customer complaints as well as a copy of each complaint in a documentation file. The Project Officer shall also keep the tabulated results of all customer satisfaction surveys on file and shall enter the summary results into the Surveillance Activity Checklist.

## 7. IDENTIFIED QA SURVEILLANCE TASKS

The following PBSC items are identified within the PGPUB and Initial Classification Statement of Work to be applicable on a wide basis and are to be monitored under this QASP.

See the Performance Requirements Summary and Section B.13 MEASUREMENT OF PERFORMANCE

### For Each Contract Task

Performance Requirement – As agreed upon between the Contractor and USPTO

Performance Standard - As agreed upon between the Contractor and USPTO

Method of Measurement – As agreed upon between the Contractor and USPTO

Performance Metrics – As agreed upon between the Contractor and USPTO

Performance Incentives – As agreed upon between the Contractor and USPTO

## 8. DOCUMENTATION

The Project Officer will, in addition to providing documentation to the Contracting Officer, maintain a complete Quality Assurance file. The file will contain copies of all reports, evaluations, recommendations, and any actions related to the Government's performance of the quality assurance function, including the originals of all Surveillance Activity Checklists. All such records will be retained for the life of this contract. The Project Officer shall forward these records to the Contracting Officer at termination or completion of the contract.

## 9. ATTACHMENTS

### Attachment 1 – Surveillance Activity Checklist

#### **ATTACHMENT 1** **Surveillance Activity Checklist**

Performance Requirement	Performance Standard	Method of Measurement	Performance Metrics	Method of Surveillance	Date Accomplished	Compliance (Exceeded, Met or Partially Met)
<b>0001a Chemical Applications</b>	<ul style="list-style-type: none"> <li>· Application serial number</li> <li>· All mandatory classifications (US and IPC)</li> <li>· All discretionary classifications (US and IPC)</li> <li>· Primary classification (US)</li> <li>· Representative figure(s) (or an indication none are appropriate)</li> <li>· Latin name and variety **Plant applications only</li> <li>· Results of review for offensive material</li> </ul> <p>For each application in the normal publication cycle, the contractor must provide the required information within 30 calendar days of receiving the application.</p>	The sample size for each CLIN will be the greater of 5% of the applications classified by the contractor or 100 applications, except that if the contractor has classified less than 100 applications under a specific CLIN the sample size shall be 100% of the applications classified.	Per B.13.3			
<b>0001b Electrical Applications</b>			Per B.13.3			
<b>0001c Mechanical Applications</b>			Per B.13.3			
<b>0001d Plant Applications</b>			Per B.13.3			
<b>0001e Issuing Patents Classification Corrections</b>			Per B.13.3			
<b>0001f Pre-Grant Classification Changes</b>			Per B.13.3			
<b>0002a Researching Primary Classification used for Final Routing</b>	<ul style="list-style-type: none"> <li>· Application serial number</li> <li>· Primary classification (US)</li> <li>· All mandatory classifications (US)</li> <li>· Reference to schedules and definitions</li> <li>· Reference to classification rules or policies</li> <li>· Example patent(s) showing the classification of similar prior art</li> </ul> <p>For each application researched, the contractor must provide the required information within 7 calendar days of receiving the application.</p>	100% Inspection	Unit Price			